

12-15-99



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE UTILITY PATENT APPLICATION TRANSMITTAL

(For new non-provisional applications under 37 CFR § 1.53(b))

Atty. Dkt. No: 5226-00600	\$ CERTIFICATE OF EXPRESS MAIL	5
Inventor(s):  Kevin A. Nesmith, Jason W. Abshire, John Bunda, Thomas E, Dixon, Erik E. Fierce, Todd W. Gruben, Sandi Lester, Jason C. Mongaras, and Omar Salinas  Title: Computerized Method and System for Trading of Securities	UNDER 37 C.F.R. §1.10  "Express Mail" mailing label number: EL396364997US DATE OF DEPOSIT: December 13, 1999  I hereby certify that this paper or fee is being deposited with t United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicat above and is addressed to:  Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	

## **Application Elements**

1. Filing Fee

The filing fee is calculated as shown below.

Total Claims	80	-20=	60	x \$18.00=	\$1,080.00
Independent					
Claims	23	-3 =	20	x \$78.00=	\$1,560.00
Multiple Deper	dent Cl	aims		Fee:	\$0.00
Basic Fee:				\$760.00	
Assignment Fee					\$40.00
Sub-Total:					\$3,440.00
Reduction by 50% for Small Entity:				\$0.00	
Total:					\$3,440.00

A check in the amount of \$3,440.00 is enclosed.

The Commissioner is hereby authorized to charge any other fees which may be required or credit any overpayment to Conley, Rose, & Tayon, P.C., Deposit Account No. 03-2769/5226-00600/DRC.

One duplicate copy of this form is enclosed.

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25 page(s) of specification; 26 page(s) of claims, 1 page(s) of abstract

3. Drawings

Informal Figure(s) 1-22 on 21 sheet(s)

- 4. Oath or Declaration
  - Newly executed

Copy from a prior application (see 37 C.F.R. § 1.63(d))

Deletion of Inventor(s) (in continuation or divisional applications):

- Delete the following inventor(s) named in the prior non-provisional application:
- The inventor(s) to be deleted are set forth on a signed sheet attached hereto.

5. The entire disclosure of the prior application referred to above is considered to be part of the
accompanying application and is hereby incorporated by reference herein.  6. Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
Computer Readable copy
Paper Copy (identical to computer copy)
Statement verifying identity of above copies
8. Assignment Papers
9. Power of Attorney
✓ Is attached.
The power of attorney appears in the original papers of the prior application.
☐ Since the power does not appear in the original papers, a copy of the power in the prior
application is enclosed.
10, Information Disclosure Statement (IDS)
Copies of IDS Citations
11. Amendments
A preliminary amendment is enclosed.
Cancel in this application claim(s) before calculating the filing fee. At least one
independent claim is retained for filing purposes.
Amend the specification by inserting before the first line the sentence:
12. Return Receipt Postcard
13. Small Entity Status
A small entity statement is enclosed.
A small entity statement was filed in the prior non-provisional application and such status is
still proper and desired.
☐ Is no longer claimed.  14. ☐ Priority of foreign application number, filed on in is claimed under
35 U.S.C. §§ 119(a)-(d)
15. Petition under 37 C.F.R. § 136 for Extension of Time
16. Other:
Address all future correspondence to:
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Phone: (512) 476-1400 Fax: (512) 703-1250
<u> </u>
$()$ $\mathcal{V}_{i}$
Signature
Name Dan R. Christen
Registration No. 39,943
Date December 13, 1999